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PATENT

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: LENDLEIN, *et al.* Examiner: To be assigned  
Serial No.: To be assigned Group Art Unit: To be assigned  
Filed: Herewith  
For: Method of Achieving a Shape-Memory Effect on Hair  
Customer No.: 23719 Kalow & Springut LLP  
488 Madison Avenue, 19th Floor  
New York, New York 10022

October 8, 2004

Mail Stop PCT  
Commissioner for Patents  
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Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Sir:

Applicants submit herewith the following disclosure in accordance with the provisions of  
37 C.F.R. §§ 1.97 and 1.98.

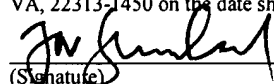
**I. FOREIGN PATENT DOCUMENTS**

<b><u>Publication No.</u></b>	<b><u>Country</u></b>	<b><u>Publication Date</u></b>
EP 0 422 693 A	EP	17 April 1991
US 6 156 842 A	US	5 December 2000
WO 99 42528 A	WIPO	26 August 1999
WO 99 42147 A	WIPO	26 August 1999
WO 03/084489 A1	WIPO	16 October 2003
WO 03/084491 A1	WIPO	16 October 2003

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(Signature)

Tor Smeland  
(Printed Name of Person Signing Certificate)

October 8, 2004  
(Date)

## **II. NON PATENT PUBLICATIONS**

International Search Report for PCT/EP03/03734.

A. Lendlein *et al.*, "AB-Polymer Networks Based On Oligo(epsilon-Caprolactone) Segments Showing Shape-memory Properties," *Proc. Natl. Acad. Sci. USA*, vol. 98, no. 3, January 2001 (2001-01), Pages 842-847, XP002251532.

A. Lendlein *et al.*, "Formgedächtnispolymere," *Angewandte Chemie*, vol. 114, no. 12, 17 June 2002 (2002-06-17), pages 2138-2162, XP002251533.

Database WPI, Section Ch, Week 199214, Derwent Publications Lt., London, GB; Class A12, AN 1992-109202 XP002251534 & JP 04 050234 A (Asahi Chem Ind Co Ltd), 19 February 1992 (1992-02-19).

Patent Abstracts of Japan, vol. 016, no. 213 (C-0942, 20 May 1992 (1992-05-20) & JP 04 0451416 A (Noevir Co Ltd; Others: 01), 12 February 1992 (1992-02-12).

The items listed above are identified on the accompanying Form PTO/SB/08. A copy of each of the items identified above is also submitted with this statement.

Applicants take no position on whether any of the items cited above and listed on the accompanying Form PTO/SB/08 constitute prior art against the subject application under any particular provision of Title 35 of the United States Code.

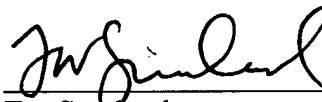
Applicant: LENDLEIN, *et al.*  
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Because no action has been taken on the merits, Applicants submit that no fee is due at this time. However, if a fee is deemed necessary, please charge Deposit Account No. 11-0171.

Respectfully submitted,



Tor Smeland  
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Attorney for Applicant

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number	To be assigned
Filing Date	Filed herewith
First Named Inventor	LENDLEIN, Andreas
Art Unit	To be assigned
Examiner Name	To be assigned
Attorney Docket Number	13633PCTUS

Sheet 2 of 2

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		LENDLEIN, A. et al. "A-B Polymer Networks Based on Oligo(epsilon-caprolactone) Segments Showing Shape-memory Properties," Proc. Natl. Acad. Sci. USA, vol. 98, No. 3, January 2001 (2001-01), Pages 842-847.	
		LENDLEIN, A. et al. "Formgedachtnispolymere," Angewandte Chemi, vol. 114, No. 12, 17 June 2002, pages 2138-2162.	
		Database WPI, Section Ch. Week 199214, Derwent Publications Ltd., London, GB; Class A12, AN 1992-109202 XP002251534 & JP 04 050234 A (Ashahi Chem Ind Co Ltd), 19 February 1992 (1992-02-19)	
		Patent Abstracts of Japan vol. 016, No. 213 (C-0942), 20 May 1992 (1992-05-20) & JP 04 041416 A (Noevir Co Ltd; others: 01), 12 February 1992 (1991-02-12)	
		International Search Report for PCT/EP03/037364	

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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